

MAY 04 2004

PTO/SB/01 (08-03)

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

Declaration Submitted With Initial Filing

OR

Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	11321-P058US
First Named Inventor	Khabashesku, et al.
<b>COMPLETE IF KNOWN</b>	
Application Number	TO BE ASSIGNED
Filing Date	November 14, 2003
Art Unit	Unknown
Examiner Name	Unknown

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SIDEWALL FUNCTIONALIZATION OF SINGLE-WALL CARBON NANOTUBES THROUGH C-N BOND FORMING SUBSTITUTIONS OF FLUORONANOTUBES**

(Title of the Invention)

the specification of which

is attached hereto

OR

was filed on (MM/DD/YYYY) 11/14/2003 as United States Application Number or PCT International

Application Number   and was amended on (MM/DD/YYYY)   (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? Yes	Certified Copy Attached? No
N/A			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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**DECLARATION — Utility or Design Patent Application**Direct all correspondence to:  Customer Number: \_\_\_\_\_ OR  Correspondence address below**Name**

Ross Spencer Garsson / Winstead Sechrest &amp; Minick P.C.

**Address**

400 North Ervay Street, P.O. Box 50784

**City**

Dallas

**State**

TX

**ZIP**

75201

**Country**

US

**Telephone**

512-370-2870

**Fax**

512-370-2850

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**

A petition has been filed for this unsigned inventor

**Given Name**

(first and middle [if any]) Valery N.

**Family Name**

or Surname Khabashesku

Inventor's Signature

Date

**Residence: City**

Houston

**State**

TX

**Country**

US

**Citizenship**

RU

Mailing Address  
2421-B Doltington**City**

Houston

**State**

TX

**ZIP**

77030

**Country**

US

**NAME OF SECOND INVENTOR:**

A petition has been filed for this unsigned inventor

**Given Name**

(first and middle [if any]) John L.

**Family Name**

or Surname Margrave

Inventor's Signature

Date

**Residence: City**

Bellaire

**State**

TX

**Country**

US

**Citizenship**

US

Mailing Address  
4511 Verone**City**

Bellaire

**State**

TX

**ZIP**

77041

**Country**

US

Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

MAY 04 2004

PTO/SB/02A (08-03)

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## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet

Page 1 of 1

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)		Family Name or Surname	
Joel L.		Stevens	
Inventor's Signature		Date	
Residence: City Houston	State TX	Country US	Citizenship US
Mailing Address 16541 Rubon Chapel			
Mailing Address			
City Montgomery	State TX	Zip 77316	Country US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)		Family Name or Surname	
Gaelle Armelle		Derrien	
Inventor's Signature		Date	
Residence: City Montpellier	State	Country FR	Citizenship FR
Mailing Address 9 rue Sebastien Lenormand			
Mailing Address			
City Montpellier	State	Zip 34090	Country FR
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
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PTO/SB/02LR (05-03) Approved for use through xx/xx/xxxx. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
LEGAL REPRESENTATIVES (35 U.S.C. 117)  
Supplemental Sheet

Page 1 of 1

## DECLARATION

Name of Legal Representative:	<input checked="" type="checkbox"/> A supplemental declaration has been filed concurrently herewith.		
Given Name (first and middle (if any))		Family Name or Surname	
Mary Lou		Margrave	
Legal Representative's Signature	<i>Mary Lou Margrave</i>		Date <i>04-26-04</i>
Residence: City	Bellaire	State	TX
Mailing Address	4511 Verone <i>77401-5513</i>		
Mailing Address			
City	Bellaire	State	TX
Zip	<i>77041</i>	Country	U.S.
Name of Additional Legal Representative, if any:	<input type="checkbox"/> A petition has been filed for this non-signing legal representative		
Given Name (first and middle (if any))		Family Name or Surname	
Legal Representative's Signature			
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country
Name of Additional Legal Representative, if any:	<input type="checkbox"/> A petition has been filed for this non-signing legal representative		
Given Name (first and middle (if any))		Family Name or Surname	
Legal Representative's Signature	Date		
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country

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**SUPPLEMENTAL DECLARATION UNDER 37 C.F.R. § 1.42  
FOR SIGNING BY LEGAL REPRESENTATIVE ON  
BEHALF OF DECEASED INVENTOR**

I, Mary Lou Margrave, hereby declare that I am a citizen of the United States, residing at 4511 Verone, Bellaire, Texas 77041. I further declare that I have reason to believe that I will be appointed legal representative of John L. Margrave, my husband, who passed away on December 18, 2003, as I am named as executrix in his will. Upon information and belief, I aver those facts that he is required to state in order to apply for a patent or allowance of any patent application in which he is listed as an inventor. Further, it is my understanding that all patents and patent applications in which John L. Margrave is listed as an inventor are to be assigned to Rice University, his employer since 1963, pursuant to the Rice University Policy.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: April 26, 2004

Mary Lou Margrave

Mary Lou Margrave  
Legal Representative of John L. Margrave

AUSTIN\_1\248137\1  
11321-G99999



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Art Unit	UNKNOWN
Examiner Name	UNKNOWN

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(Title of the Invention)

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? Yes	Certified Copy Attached? No
N/A			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Direct all correspondence to: <input type="checkbox"/> Customer Number: _____ OR <input checked="" type="checkbox"/> Correspondence address below			
Name Ross Spencer Garsson / Winstead Sechrest & Minick P.C.			
Address 400 North Ervay Street, P.O. Box 50784			
City Dallas		State TX	ZIP 75201
Country US		Telephone 512-370-2870	Fax 512-370-2850
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
<b>NAME OF SOLE OR FIRST INVENTOR:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Valery N.		Family Name or Surname Khabashesku	
Inventor's Signature <i>V. N. Khabashesku</i>		Date <i>12/12/03</i>	
Residence: City Houston	State TX	Country US	Citizenship RU
Mailing Address <i>2421-B Dillington Dillington VN 12/12/03</i>			
City Houston	State TX	ZIP 77030	Country US
<b>NAME OF SECOND INVENTOR:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) John L.		Family Name or Surname Margrave	
Inventor's Signature		Date	
Residence: City Bellaire	State TX	Country US	Citizenship US
Mailing Address <i>4511 Verone</i>			
City Bellaire	State TX	ZIP 77041	Country US
<input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the <u>1</u> supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.			



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Supplemental Sheet

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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)		Family Name or Surname	
Joel L.		Stevens	
Inventor's Signature		Date	
Residence: City	Houston	State	TX
Country	US	Citizenship	US
Mailing Address 16541 Rubon Chapel			
Mailing Address			
City	Montgomery	State	TX
Zip	77316	Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)		Family Name or Surname	
Gaelle Armelle		Derrien	
Inventor's Signature		Date	
Residence: City	Montpellier	State	FR
Country	FR	Citizenship	FR
Mailing Address 9 rue Sebastien Lenormand			
Mailing Address			
City	Montpellier	State	Zip 34090
Country	FR		
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	Country
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Art Unit	UNKNOWN
Examiner Name	UNKNOWN

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**Name**

Ross Spencer Garsson / Winstead Sechrest &amp; Minick P.C.

**Address**

400 North Ervay Street, P.O. Box 50784

**City**

Dallas

**State**

TX

**ZIP**

75201

**Country**

US

**Telephone**

512-370-2870

**Fax**

512-370-2850

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**NAME OF SOLE OR FIRST INVENTOR:**

A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any]) Valery N.Family Name  
or Surname KhabasheskuInventor's  
Signature

Date

Residence: City  
HoustonState  
TXCountry  
USCitizenship  
RUMailing Address  
2421-B DollingtonCity  
HoustonState  
TXZIP  
77030Country  
US**NAME OF SECOND INVENTOR:**

A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any]) John L.Family Name  
or Surname MargraveInventor's  
Signature

Date

Residence: City  
BellaireState  
TXCountry  
USCitizenship  
USMailing Address  
4511 VeroneCity  
BellaireState  
TXZIP  
77041Country  
US

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Given Name (first and middle (if any))		Family Name or Surname	
Joel L.		Stevens	
Inventor's Signature			Date 12/12/13
Residence: City Houston	State TX	Country US	Citizenship US
Mailing Address 16541 Rubin Chapel	16544 Rubin Chapel		12/12/13
Mailing Address			
City Montgomery	State TX	Zip 77316	Country US
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Gaelle Armelle		Derrien	
Inventor's Signature	Date		
Residence: City Montpellier	State	Country FR	Citizenship FR
Mailing Address 9 rue Sebastien Lenormand			
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PTO/SB/01 (08-03)

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

Declaration Submitted With Initial Filing

OR

Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number 11321-P058US

First Named Inventor KHABASHESKU, ET AL.

COMPLETE IF KNOWN

Application Number TO BE ASSIGNED

Filing Date NOVEMBER 14, 2003

Art Unit UNKNOWN

Examiner Name UNKNOWN

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SIDEWALL FUNCTIONALIZATION OF SINGLE-WALL CARBON NANOTUBES THROUGH C-N BOND FORMING SUBSTITUTIONS OF FLUORONANOTUBES**

(Title of the Invention)

the specification of which

is attached hereto

OR

was filed on (MM/DD/YYYY) 11/14/2003 as United States Application Number or PCT International

Application Number [REDACTED] and was amended on (MM/DD/YYYY) [REDACTED] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications; material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? Yes	Certified Copy Attached? No
N/A			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**DECLARATION — Utility or Design Patent Application**

Direct all correspondence to:  Customer Number:   OR  Correspondence address below

Ross Spencer Garson / Winstead Sechrest &amp; Minick P.C.

**Address**

400 North Ervay Street, P.O. Box 50784

City Dallas	State TX	ZIP 75201
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Country US	Telephone 512-370-2870	Fax 512-370-2850
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**  A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) Valery N.	Family Name or Surname Khabashesku
---	---------------------------------------

Inventor's Signature	Date
-------------------------	------

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**NAME OF SECOND INVENTOR:**  A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) John L.	Family Name or Surname Margrave
---	------------------------------------

Inventor's Signature	Date
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Residence: City Bellaire	State TX	Country US	Citizenship US
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Mailing Address  
4511 Verone

City Bellaire	State TX	ZIP 77041	Country US
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Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.



PTO/SB/02A (08-03)

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<b>DECLARATION</b>		<b>ADDITIONAL INVENTOR(S)</b> Supplemental Sheet
Page 1 of 1		

Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
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Inventor's Signature	Date		
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Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle (if any)	Family Name or Surname		
Gaelle Armelle	Derrien		
Inventor's Signature <i>G.Derrien</i>	Date 12/15/2003		
Residence: City Montpellier	State	Country FR	Citizenship FR
Mailing Address 9 rue Sebastien Lenormand			
Mailing Address			
City Montpellier	State	Zip 34090	Country FR
Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle (if any)	Family Name or Surname		
Inventor's Signature	Date		
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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